

The University of Texas Health San Antonio
FY 2020 Audit Plan

Project No.	General Objective/Description		Budgeted
Risk Based Audits			Hours
UTHSCSA20-01	Medical Device Management	Determine whether the processes and controls for medical device management are adequate and effective to safeguard both the asset and the stored ePHI. Portions of this work (data governance and security) is intended to satisfy the TAC 202 requirements scheduled for FY20.	400
UTHSCSA19-04CF	Carry Forward Practice Plan - Collections	Completion of audit started during Q4 FY 2019. Review and evaluate the effectiveness of the payment collection processes and related controls, within UT Health Physicians clinical operations.	200
UTHSCSA20-02	Intellectual Property Protection Plan Assessment	Determine whether the processes and controls established as part the institution's intellectual property (IP) protection plan adequately and effectively address the required elements within Chancellor Milliken's April 2019 directive.	400
UTHSCSA20-03	Open Encounter and Orders	Assess the current processes for closing out open encounters to ensure UT Health Physicians to bill payers timely.	450
UTHSCSA20-04	Epic External Access Management	Assess the adequacy and effectiveness of the processes and controls associated with Epic access by external providers.	300
UTHSCSA19-06CF	Carry Forward - Follow-up UT Dentistry Revenue Cycle Audit	Completion of audit started during Q4 FY 2019. As a follow-up to the FY18 audit, reperform an evaluation of the key processes and controls over UT Dentistry's Revenue Cycle.	300
UTHSCSA20-05	Mays Cancer Center Infusion Charge Capture and Billing	Completion of audit started during Q4 FY 2019. Assess the adequacy and effectiveness of the Mays Cancer Center's drug infusion charge capture and billing processes and controls.	200
UTHSCSA20-06	Practice Plan - Billings/Adjustments	Assess the adequacy and effectiveness of the UT Health Physicians billing processes and controls to include adjustments to patient accounts.	450
UTHSCSA20-07	Medication Management - Mays Cancer Center	Determine whether the processes and controls for prescription drugs are adequate and effective within the Mays Cancer Center.	350
UTHSCSA20-08	Vendor Management	Assess the adequacy and effectiveness of the processes and controls associated with vendor management.	400
Risk Based Audits Subtotal		10	3,450
Consulting Projects			
UTHSCSA20-09	UHS Pre-Implementation Advisory Assessment	Partner with clinical operations leadership to gain an understanding of the planned pre-implementation risks and critical requirements associated with the UHS conversion as it relates to UT Health San Antonio. Where appropriate, provide proactive feedback to help minimize the likelihood of disruption to key institutional operations such as healthcare delivery and billing.	300
UTHSCSA20-10	Health Data Governance	Gain an understanding of the current health data governance program, and where appropriate, provide guidance to help ensure that associated processes and controls are in place to ensure the quality, consistency and security of enterprise health data.	200
UTHSCSA20-11	Title IX	Evaluate the processes utilized in administering Title IX Sexual Harassment and Violence regulations for compliance, to include the following: Training and awareness programs for adequacy and effectiveness, investigation, adjudication and proceedings for sexual harassment and violence cases, security of sensitive and confidential information, and policies and procedures concerning Title IX.	250
Consulting Subtotal		5	750

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Required Audits			
<i>UTHSCSA20-15</i>	FY 2019 Financial Statement Audit Assistance (Year-end)	Assist the external auditors in the coordination and/or performance of testing for the audit of the Annual Financial Report (FY19 year-end work).	20
<i>UTHSCSA20-16</i>	FY 2020 Financial Statement Audit Assistance (Interim)	Assist the external auditors in the coordination and/or performance of financial and IT control testing for the audit of the Annual Financial Report (FY20 interim work).	10
<i>UTHSCSA20-17</i>	Residency Program Award/Family & Community Medicine	Review expenditures for the Residency program and report on the compliance with grant regulations to the Texas Higher Education Coordinating Board.	200
<i>UTHSCSA20-18</i>	Executive Travel and Entertainment Expenses	Evaluate and test compliance with UT Health San Antonio and UTS policies for travel and entertainment expenses incurred by senior leaders (Required by UT System biennially - being done off-cycle based on Institutional leaders request).	160
<i>UTHSCSA20-19</i>	SAO Annual Reporting Requirement on Procurement Policies	Review for compliance with the Texas Education Code §51.9337 requirement that the Chief Audit Executive annually certify to the state auditor that the institution has procurement policies in place that comply with the Texas Education Code requirements for higher education institutions.	20
<i>UTHSCSA20-20</i>	Employee Benefits Proportionality Audit	Audit of Benefits Proportionality by fund at UT Health San Antonio, as required by Rider 8, page III-44, of the General Appropriations Act (85th Legislature, Conference Committee Report). Scope is FY 2018- FY 2019.	250
<i>UTHSCSA20-21</i>	Audit Assistance to External Agencies (SAO, THECB, etc.)	Coordinate external agency audits.	80
<i>UTHSCSA20-22</i>	Annual Internal Audit Report	Prepare and issue the annual SAO Internal Audit Activity Report.	80
Required Audits Subtotal		8	820
Total Number of Scheduled Projects		23	5,020